



**Utah State Government
Records Management
Handbook
2008**

Utah State Government Records Management Handbook 2008



Utah State Archives

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INTRODUCTION

The Division of Archives and Records Service assists Utah government agencies in establishing efficient records management procedures, preserving records of enduring value, and providing quality access to public information. The state's Government Records Access and Management Act (Title 63G Chapter 2) was enacted to establish fair and reasonable records management practices, ensure the public's right of access to information concerning the conduct of the public's business, and provide guidelines for both disclosure and restrictions on access to government records. In order to comply with the provisions of GRAMA records should be managed at each stage of their lifecycle, from the time they are created, to the time when they cease to hold any administrative, legal, or fiscal value. It is the responsibility of every governmental entity to establish and maintain effective records management procedures.

This handbook will provide important information concerning the efficient management and proper access of government records. Records officers should be able to find answers to basic questions concerning the appraisal of records, establishing records retention schedules, storing records at the State Records Center, designating and classifying records, answering GRAMA requests, and handling appeals for denied records.

The purpose of this manual is to provide government agencies with the information needed to ensure compliance with the provisions of the Government Records Access and Management Act (GRAMA).

The Division of State Archives and Records Service has assigned record analysts for every governmental entity to act as a records management consultant. If you have questions that are not addressed in this handbook, please contact your analyst (www.archives.utah.gov) to receive further guidance.

PART I

MANAGING GOVERNMENT RECORDS

RECORD KEEPING RESPONSIBILITIES

Duties of government agencies

All government agencies have a responsibility to comply with the Government Records Access and Management Act by managing the records created within their offices. These responsibilities include the following:

- Establish and maintain an efficient records management program.
- Appoint one or more records officers who will be trained to work with the State Archives on records issues.
- Create and maintain proper documentation of the governmental entity's organization, functions, policies, decisions, procedures, and essential transactions that are designed to furnish information protecting the legal and financial rights of persons directly affected by the entity's activities.
- Submit proposed retention schedules of records for final approval to the State Records Committee.
- Cooperate with the State Archives in conducting records inventories.
- Designate and classify the agency's records, and report these to the State Archives.
- Establish retention schedules for objects that are not records but have historical value, and report these to the State Archives.

Duties of the Records Officer

The records officers appointed by the chief administrative officer of each agency are also assigned certain duties by the Government Records Access and Management Act (GRAMA). These individuals should be knowledgeable about the agency's records and perform the following duties:

- Develop and provide oversight of the records management program in the agency, including training others to follow established records management guidelines, policies, and retention schedules.
- Serve as the contact person with the State Archives to establish record series.
- Inventory agency records, develop agency retention schedules, and obtain agency approvals.
- Implement the retention schedules passed by the State Records Committee and document authorized destruction of obsolete records.
- Maintain information on record series that have been scheduled and conduct periodic reviews to update information.
- Report agency designations and classifications to the State Archives.
- Maintain information on record series that have been transferred to the State Records Center to ensure efficient retrieval.

FILE MANAGEMENT

Records should be managed at each stage of their lifecycle from the time they are created to the time when they cease to hold any administrative, legal, or fiscal value.

Creation

It is important to identify which copy is your "record copy". Using a centralized filing system can help minimize the creation of needless duplicates. Creating too many duplicates can cause storage space problems and possible litigation issues when copies of documents are not destroyed according to their retention.

Active use

Records in active use should be housed in a way that allows easy access and minimizes physical damage to the document. Active records are often used by many people and need to be tracked for retrieval purposes.

- A properly managed file drawer will use no more than 23 to 24 inches of the 27 inches of clear capacity (if using traditional, upright file drawers). Tightly packed drawers slow the filing and retrieval process and often result in torn or destroyed records.
- Active file drawers should have between 5 to 20 file guides (based on classification schemes such as "A-F" or "1000-3999". Having such a system will cut down on the time it takes to retrieve information from the drawers.
- File folders should all have the same basic tab style, not a mixture of different types and sizes. The folders should be durable, using at least 11-point for frequent use and 14-point for heavy use.
- Standard folder labels should be used, and they should be typed rather than handwritten.
- Manila folders are designed to hold a maximum of three-fourths of an inch of paper. Over-filling folders causes the material to obscure the label. It also subjects the material to ripping and tearing and tends to cause the folders to "slump" in the drawer. On the other hand, if files only contain a few items, there may be too many discrete files, and consolidation may be advisable. An optimum folder should contain from 20 to 50 pages.
- Hanging file folders should only be used in conjunction with manila folders, not with papers placed into the hanging files alone. This will facilitate later removal of the records when they go into inactive storage.
- Filing systems should only be used for storing files. Books, office supplies, and lunch should not be stored in filing cabinets.
- Centralize the filing of common-interest records to one location under one supervisor. File specialized records in the departments where they are handled, and establish handling procedures.
- Electronic records can help reduce the need for storage space, mitigate damage through handling, and facilitate the search for records. Be mindful of record retentions by ensuring your electronic document management systems have the ability to delete records once they have met their retentions.

- Remove files from active file space when they are used less than once per month; otherwise, your inactive files will clog your active file space and make it more difficult to find your active files.

Inactive use

Records that are used less than once a month should be removed from an active-file space and stored outside of the immediate office area. Records can be stored either in an agency storage room or at an off-site records center until their retention has been met. The State Records Center is available for use by Utah governmental entities, free of charge. The reason for using off-site storage is primarily cost. Office space is expensive, but warehouse space is relatively inexpensive. If records are not needed frequently, use of a record center is a good solution. Records may be retrieved from the State Records Center if needed. When storing your own records, consider the following:

- The more organized your records are in their active-use stage, the easier they will be to locate when being stored. Always use the same filing scheme in inactive storage as you did in the active-file drawer.
- Remove files from file drawers and hanging file folders and place them in a Records Center box (Office Depot item # 285052). This type of box is built for strength and is usually less expensive and easier to handle than other boxes. Do not use banker boxes.
- If creating your own storage area, be sure the floors have sufficient strength. Three hundred pounds per inch (psi) is an adequate strength.
- Use the ground floor if possible. Basements are not good storage areas because they are prone to flooding, which may cause water damage to your records.
- Be sure that your storage area is secure against any unauthorized access.
- Storage areas should be climate-controlled. Do not let the temperature exceed 82 degrees.
- Make sure the area has a good ventilation system.
- Use standard steel shelving. Do not place records directly on the floor. Use pallets to store records off the floor in case of flooding.

Final disposition

When records have met their retentions, they must either be destroyed or, if they have historical value, they must be maintained permanently. Arrangements should be in place to destroy records in a proper and timely manner. Records with historical value can be maintained permanently by an office if they have a continuing administrative value; otherwise, historical records should be sent to the State Archives for preservation and access.

RETENTION SCHEDULES

A retention schedule describes the records of an agency and establishes the retention and disposition of those records. The retention schedule defines the length of time the record must be kept, where it is to be maintained, and the disposition of the record. The retention period expressed in the retention schedule specifies the time period record series are maintained in agency custody prior to disposition. This time period is based on the estimate of frequency of use, the appraised value of the records, and length of time it is necessary to keep the records. Disposition is the action taken with records following the end of their retention period. The action requires the records to be destroyed, or if they have historical value, to be transferred to the State Archives.

There are two types of retention schedules associated with Utah state and local government agencies: general retention schedules and agency specific retention schedules. A general retention schedule is a listing and description of record series commonly found in agencies. Examples of these record series include human resource records, budget records, correspondence, meeting minutes, as well as many others. The time period shown for each general schedule item indicates the retention that the State Records Committee has approved for each type of record. General retention schedules have been issued for state agencies, individual agencies, counties, municipalities, and school districts.

An agency specific retention schedule is a listing of record series created or maintained by a government entity. The records in this listing are specific and often unique to each agency. The agency retention schedule may also contain records that fall under the authority of a general retention schedule.

Appraisal

Appraisal is the process of determining the value of a record. Appraisal is an important factor in establishing the retention and disposition of a record based on use, research, evidentiary value in the information, and the record's relationship to other records. There are four basic appraisal values: administrative, fiscal, legal, and historical. Accurately appraising records will enable the establishment of the best retention schedule for the records.

Administrative value

A record series may have administrative value if the information is useful in conducting daily business.

- Would you be able to conduct normal, daily business without these records?
- How often did you refer back to these records during the past year?
- How often was this record requested by someone within the past year?
- Is the information found in this record series available elsewhere, or is it maintained in another format?

Fiscal value

A record series may have fiscal value if the information is needed to document the expenditure of public funds or to fulfill financial obligations.

- Are the records in question requested by auditors?
- If so, how often is the office audited?

Legal value

A record series may have legal value if the information gives evidence of the legal rights or obligations of the government and its citizens or ensures compliance with relevant laws and regulations.

- Are these records subject to potential litigation?
- Are you aware of any federal or state statutes or regulations relating to the creation or maintenance of these records?
- Does the record series document the rights of the organization or the individuals?

Historical value

A record series may have historical value if the information documents the history of the government and the community.

- Does the record series document the procedures, policies, and operations of the agency?
- Does the record series provide diverse information on other topics or persons which may be of interest to the public?
- Could this series be of interest to researchers?
- Does the record series have unique physical features?

Records Inventory

A records inventory is used to identify an agency's records and allows the agency to gain control of its records. Conducting a records inventory requires the cooperation of an agency's management, records officer(s), records creators, and end users.

The following steps provide one example of how to conduct an inventory of a hard copy record series:

- Draw maps of the room(s) or sections of room(s) that are used to store records, and indicate the records being stored. Include filing cabinets, shelves, desks, and any other storage areas.
- Start at one end of the room, and work around the perimeter.
- Next inventory the files stored in the center of the room.
- Double-check files on top of and under filing cabinets, desks, shelves, and other furniture.

Electronic record series may have to be identified separately. The records officer should contact the agency's electronic records manager. The records officer will then work with those individuals to identify the agency's electronic records.

Compile a list of the record series that are identified in the inventory. Compare the list to the agency's existing retention schedule. Any records found that are not on the retention schedule should be scheduled with the State Archives.

Record Series Submission Form

When a new record series is identified, a *Records Series Submission Form* must be completed to set up a retention schedule with the State Archives. You can use this form to revise an existing record series or to create a new record series. If you want to modify information about a record series that the State Archives has previously identified, then check "Edit an Existing Record Schedule" and include the series number in the blank provided. If you are revising a record series, you need only fill out those parts of the form that pertain to your changes. If you are creating a new records series, you will need to fill in all sections of the form.

Agency information

- Provide the official name of your governmental entity, including the department, division, or office.
- Include the governmental entity's complete mailing address.
- Provide the completion date of the *Records Series Submission Form*.
- Provide the name and telephone number of the agency's records officer.
- Provide the name, title, and telephone number of the person completing the form if it is different from the information for the agency records officer.

Choose an analyst

- You must choose an analyst from the drop-down list provided. This will ensure the information will be sent to the appropriate analyst.

Describing your record series

- Establish a **descriptive title** for your record series. Do not use abbreviations, acronyms, or simple titles such as "Correspondence" or "Photographs" as they do not fully identify the records. Instead, use descriptive titles such as "Director's correspondence" or "Bridge construction photographs".
- Include any **variant or alternate titles** (nicknames, form numbers, etc.) by which your record series is known. Abbreviations and acronyms are legitimate in this field. For example, if the record series is titled "Notice of personnel actions," the variant title could be "DHRM-33s". The inclusion of variant titles is optional.

- The **year** that your governmental entity first started creating this record series should be stated. If an approximation cannot be obtained, provide the date of the earliest records that still exist in the series. If the record series has been discontinued, include the year that it stopped.
- Determine the amount of **cubic feet** that currently exists for your record series. Include the records in your office, agency records center, the State Records Center, or elsewhere. Write this number in the blank provided for the total volume. Also, state the amount of cubic feet created during a calendar year. To help you gauge quantity, remember that one standard Records Center box holds exactly one cubic foot of records. A standard, vertical file cabinet drawer holds 1.5 cubic feet.
- Identify the **arrangement**, or filing order, of your records. Choose from the following: alphabetical, chronological, numerical, or alphanumerical. For example, if paper files are arranged by date, put a check mark by the term, chronological.

Sometimes records have multiple arrangements, or they may be filed in a type of hierarchy. For instance, if your files are arranged by date, thereunder alphabetically by location, choose the terms, “chronological” and “alphabetical”. Then explain the arrangement in the criteria field.

General retention schedules.

The State Archives has identified groups of records created and maintained by most government agencies. Each group of records is assigned a schedule and item number equivalent to a record series. All agencies are allowed to retain and dispose of their records according to the approved retentions and dispositions contained within these general schedules. If your records are similar to records described in a general schedule, indicate the type of schedule (state, county, municipal, school district, or agency specific), the schedule number, and the item number within the general schedule.

Series description

Provide a complete description of your record series: What is its purpose, why are the records created, why is the information collected, how it is used, and what agency activities it documents. List what is contained in the record series (such as correspondence, form names, etc.), and include the data elements found on the forms. Indicate the primary appraisal value that influences the retention of this record series.

- Indicate whether the records are subject to audit or litigation. If the records are subject to audit, indicate the audit cycle (e.g., once every three years).
- List all legal citations which govern the creation, use, and retention of the record series.

- A record series may contain many different types of formats or media. List all that exist in the series, including the formats of duplicate copies.
- State whether this record series consists of the official record copy or a duplicate copy. If the records are duplicates, state where the official copy can be found. Indicate whether the record series has an index or another type of finding aid. If possible, describe the finding aid.
- Indicate at what point the records are semi-active (used less than once a month).
- Indicate the total length of time these records will be of administrative, legal, or fiscal value to your office. This period of time is referred to as the retention period of a record.
- Indicate the disposition of the record series. Disposition refers to what happens to the record series following the completion of the total retention period. The records will either be destroyed, retained permanently in office, or transferred to the State Archives for permanent preservation.
- Indicate whether these records will ever be microfilmed or scanned into a computer system. If scanning is done, be sure to discuss with your records analyst, the ramifications for long-term records.
- Indicate the agency's designated classification for this record. To designate the classification, complete the *Designation and Classification Form* and submit the form to the State Archives.

RECORDS STORAGE

Most records will become inactive before their scheduled retention period has been met. It is costly and inefficient to keep inactive records in office areas. An important part of any records management program is the proper storage of inactive records and the prompt destruction of records when their scheduled retention period is over. These guidelines will help you establish an effective records storage program.

Using the State Records Center

The Division of Archives operates the State Records Center for the storage of inactive state and local government records. Agencies can take advantage of storing their inactive records at the State Records Center; thereby, freeing valuable office space.

Records stored at the State Records Center remain in the legal custody of the agency. Only records that have been properly scheduled and assigned a series number will be accepted for storage at the State Records Center.

Preparing records for storage

Prepare only those records that have met their in-office retention and are now eligible to be stored at the Records Center. Obtain Record Center boxes available from Office Depot (item number 285052). Prepare one record series at a time. Limit box contents to one record series. Pack records using the same arrangement used in your agency files. Do not create a new filing system. Avoid over-packing boxes. This will leave room for any future need to retrieve records. Replace any Pendaflex folders (hanging file folders), binders, or three-ring notebooks with labeled manila folders. Label boxes with a large, black pen with indelible ink, and include the following information directly on the box: agency name, the record series number, and the agency-assigned box number. The agency-assigned box number needs to be unique. A good example to use is a combination of the year you are sending the boxes and the numerical sequence. This approach for numbering boxes can be seen in the following example: 2007-01, 2007-02, 2007-03, etc. Remember never reuse a box number on any other subsequent boxes.

Transferring records to the State Records Center

Use the State Archives Web site (www.archives.utah.gov) to complete the *Records Transfer Sheet* (RTS) online, and submit it to the State Records Center. When completed correctly, the RTS is an index for your office to use when retrieving records. It also acts as a shipping order. All transfer sheets must include the record series number and unique agency assigned box numbers. Once the RTS has been received and reviewed by the Records Center staff, the agency records officer will be contacted to arrange a date for delivery. Agencies must make their own arrangements to deliver records to the State Records Center. The agency records officer should receive a copy of the RTS within a few days of the Records Center delivery. This copy will have the Record Center location numbers (RCLs) of their boxes. The returned RTS can then be used for reference and in the retrieval of records. If you have not received a copy of the RTS within 3 business days, contact your records analyst.

Retrieval procedures

In order to request records from the Records Center, a *Retrieval Request Form* on our Web site must be filled out online and submitted to the Records Center. When requesting multiple files (even if they are in the same box), you will need to submit a separate *Retrieval Request Form* for each file. Individual files will be mailed. If whole boxes are requested, they will be pulled from Records Center shelves and mailed to the agency through State Mail Services. State Mail will take up to 6 boxes in a regular daily pickup. If you intend to send more than 6 boxes, contact State Mail to make special pickup arrangements. If time is an issue, agencies may make their own arrangements for picking up records after they have submitted the online *Retrieval Request Form*.

Destruction of records

Records stored at the State Records Center will be destroyed appropriately when records have met their approved retentions. When records have met their retention, the Records Center creates a destruction letter and mails it to the agency responsible for the records. If records can be destroyed, the agency is asked to return the signed

destruction notice to the Records Center. If the agency feels that they need the records longer because of pending litigation or audit purposes, they have the option of withholding destruction. Some reasons for this include litigation, audit, or improper retention. If destruction is postponed, there should be a specified time frame for the future destruction of those records. To ensure the timely destruction of records, each agency should appoint a destruction officer responsible for approving destructions for their agency. Officers need to be aware of all their records and the retention formats assigned to them. Officers should keep an agency destruction log for their records. Once records have been destroyed, officers should maintain destruction logs to keep track of those records that no longer exist. Documentation of record destructions is invaluable if your records become part of an audit or litigation. Being aware of the records your agency is currently responsible for and also for those they no longer possess, is an essential part of good records management.

Transferring records to the State Archives

Historical records which have met their retention in office and need to be sent to the State Archives for preservation purposes should prepare their boxes using the same process as those for sending records to the State Records Center. Records Officers should use the online *Archives Transfer Sheet*. Boxes should then be sent to the State Archives Building at 346 South. Rio Grande Street, Salt Lake City, UT 84101. When records are sent to the State Archives custody of the record then transfers to the State Archives. Any access to these records will then be handled by the History Research Center. Agencies can make requests to research these records by contacting Archives staff at (801) 533-3535.

VITAL RECORDS

Every governmental entity has some records that are vital to the functions of that agency. It is important to realize that certain precautions must be taken to protect these important records from damage or harm. The Utah State Archives is a valuable resource for your agency in the area of protecting vital records.

Your records analyst can assist you in determining which records are necessary for your office to function in a time of emergency or disaster. After the records are identified, it is wise to establish procedures that will insure the continued protection of your vital records.

These procedures should be part of a disaster preparedness plan. Some questions to consider when creating such a plan are:

- Who will be responsible for them?
- Where will they be located?
- How will they be accessed or retrieved in a time of emergency?

Some agencies have a plan in place whereby copies of the records are stored off-site, either electronically or otherwise and are updated on a regular basis. Special storage

equipment, like fireproof filing cabinets, is also an option. However, such storage equipment can be quite expensive and can only provide limited protection. Therefore, it is important to investigate your options carefully in determining the type of protection that is right for your agency. Whatever the decision, every agency should have some plan of action in place for the protection of their vital records.

RECORDS PRESERVATION

When handling valuable records, it is important to protect them from any immediate harm or damage. Paper can easily and permanently be damaged by such commonplace things as coffee rings, spills, food smudges, inadvertent marks made by writing instruments, and by being handled by unclean hands. It is also important to keep active-use and stored records in a location where they are not directly under pipes that could leak or burst and where they are protected from other physical damage. Records should never be stored directly on the floor where they could be subject to damage from water accumulation. It is strongly recommended that the boxed records be placed on pallets instead of directly on the floor. Raising boxes a few inches from the floor could make all the difference. Since paper is highly flammable, a fire alarm system is also a necessary component in protecting your records.

If the medium of the record is not paper, other considerations must be taken into account such as temperature, humidity, and location. Records stored on non-paper media (other than microfilm) can deteriorate rapidly over time. Another consideration is the speed at which technology is presently evolving and whether the information you have now will be readable in the future. The records officer must be aware that every medium has a different shelf life. Electronic and other non-paper records must be migrated on a regular basis to insure that the information stored on them will be preserved in an accessible form, and there should always be a backup copy maintained. When storing information on compact disks, it is recommended that the backup disk be of a different lot number than the disk designated as the original record or one produced by a different manufacturer all together.

When allowing public access to records, it is recommended that the patrons only have access to copies of documents, rather than the originals. Over handling historical documents can cause damage and deterioration. It is recommended that copies, either in a digital or microfilmed format, be made available for frequently requested records.

PART II

RECORDS ACCESS

DESIGNATION AND CLASSIFICATION

Duty to evaluate records

Each government agency is required by UCA 63G-2-307 (2008) of GRAMA to evaluate all record series that it maintains and designate a classification for those records. When designating a classification, an agency decides what the classification will be when someone requests to see the record. After designating a series classification, each agency must report those designations to the State Archives. The record will not be officially classified until the time someone makes a formal request to view the record. At that time, the agency must classify the record for access purposes. Once the record has been released or restricted according to one of the five categories of classification, it is considered classified. A government agency may classify a record, record series, or information within a record at any time, but it is not required to do so until access to the record is requested. An agency may reclassify a record, record series, or information within a record at any time.

Classifying records under GRAMA is the procedure of determining who may have legal access to the information in a record series. This procedure is the responsibility of the agency creating or collecting information for a record. Agency personnel responsible for classifying records should refer to GRAMA and any other applicable laws and rules when determining their designations and classifications. Records analysts at the State Archives are available to give assistance in designating and classifying records.

Types of Classifications

There are five categories of classification: public, private, controlled, protected, and exempt.

Public

The records of state and local government agencies are considered open for public review unless they contain information that falls into one of the other categories. (UCA 63G-2-301)

Private

Records only open to the individual to whom the records pertain and other authorized persons or agencies. (UCA 63G-2-302)

Examples of Private information:

| | | | |
|---|---|--|--|
| <input type="checkbox"/> Addresses | <input type="checkbox"/> Expenditures | <input type="checkbox"/> Military Service | <input type="checkbox"/> Race/Ethnic Groups |
| <input type="checkbox"/> Age/Birth dates | <input type="checkbox"/> Family Information | <input type="checkbox"/> Mortgage Information | <input type="checkbox"/> References |
| <input type="checkbox"/> Alcohol/Drug Addictions | <input type="checkbox"/> Fingerprints | <input type="checkbox"/> Motor Vehicle Ownerships | <input type="checkbox"/> Religious Preferences |
| <input type="checkbox"/> Birthplaces | <input type="checkbox"/> Food Purchases | <input type="checkbox"/> Names/Signatures | <input type="checkbox"/> Salary Information |
| <input type="checkbox"/> Checking/Savings Accts. | <input type="checkbox"/> Home/Property Owners | <input type="checkbox"/> National Origins | <input type="checkbox"/> Security Investigations |
| <input type="checkbox"/> Court Actions | <input type="checkbox"/> Intelligence Quotients/IQs | <input type="checkbox"/> Occupational Licenses | <input type="checkbox"/> Sex/Gender |
| <input type="checkbox"/> Credit Ratings | <input type="checkbox"/> Job Position Information | <input type="checkbox"/> Occupational Preferences | <input type="checkbox"/> Social Security Numbers |
| <input type="checkbox"/> Criminal Histories | <input type="checkbox"/> Living Conditions | <input type="checkbox"/> Physical Descriptions | <input type="checkbox"/> Tax Information |
| <input type="checkbox"/> Driver's License Numbers | <input type="checkbox"/> Marital Status | <input type="checkbox"/> Psychiatric Information | <input type="checkbox"/> Telephone Numbers |
| <input type="checkbox"/> Educational Histories | <input type="checkbox"/> Medical/Dental Information | <input type="checkbox"/> Psychological Information | <input type="checkbox"/> Victim Information |
| <input type="checkbox"/> Employment Histories | <input type="checkbox"/> Membership Affiliations | <input type="checkbox"/> Public Housing Occupants | <input type="checkbox"/> Other |

Controlled

Records open to authorized persons or agencies but not open to the individual to whom the records pertain. (UCA 63G-2-304)

Examples of Controlled information:

| | | |
|--|---|---|
| <input type="checkbox"/> Medical Data | <input type="checkbox"/> Psychiatric Data | <input type="checkbox"/> Psychological Data |
| <p>If the governmental entity reasonably believes that releasing the information to the subject of the record would be detrimental to the subject's mental health or to the safety of any individual or releasing the information would constitute a violation of normal professional practice and medical ethics.</p> | | |

Protected

Records, usually containing non-personal data, that are open to the person submitting the record and authorized persons or agencies. (UCA 63G-2-305)

Examples of Protected information:

| | | |
|--|--|--|
| <input type="checkbox"/> Attorney Work Products <input type="checkbox"/> Trade Secrets <input type="checkbox"/> Test Questions/Answers <input type="checkbox"/> Drafts, unless classified as public <input type="checkbox"/> Records, if disclosed, would jeopardize the life or safety of an individual <input type="checkbox"/> Records, if disclosed, would jeopardize the security of governmental property, programs or record-keeping systems <input type="checkbox"/> Names of donors or prospective donors to a governmental entity <input type="checkbox"/> Recommendations made to the Board of Pardons and Parole <input type="checkbox"/> Records, if disclosed, would deprive a person of a fair trial or impartial hearing | <input type="checkbox"/> Records, prepared solely in anticipation of litigation that are not available under the rules of discovery <input type="checkbox"/> Records, relating to an ongoing or planned audit until the final audit is released <input type="checkbox"/> Records, if disclosed, would jeopardize the security of a correctional facility <input type="checkbox"/> Records relating to incarceration, treatment, probation, or parole that would interfere with the control and supervision of an offender. <input type="checkbox"/> Records, which may identify a source who is not generally known <input type="checkbox"/> Unpublished manuscripts, lecture notes, or research data | <input type="checkbox"/> Collective bargaining strategies <input type="checkbox"/> Records of historic, prehistoric, paleontological, or biological resources <input type="checkbox"/> Minutes of closed meetings <input type="checkbox"/> Settlement negotiations (not including the final settlement) <input type="checkbox"/> Records, if disclosed, could impair governmental procurement proceedings. <input type="checkbox"/> Records, if disclosed, could interfere with investigations <input type="checkbox"/> Other (please specify) |
|--|--|--|

Exempt

Records where disclosure is limited or restricted expressly by statute, regulation, or court rule. (UCA 63G-2-201(3)(b) & (6)(a))

These definitions differentiate the general information for each classification. If more detailed information is needed, consult the appropriate section in GRAMA.

Primary and secondary classifications

Two levels of designations and classifications are available for records: primary and secondary. The primary classification constitutes the classification of the record series as a whole or the majority of the information within the series. In some instances specific information within a record or record series may be classified differently from the primary classification. This is referred to as the secondary designation or classification.

For example, a record series may be classified as public, which would be the primary classification. If the records contain Social Security numbers that should not be disclosed, the series would then have a secondary classification of private to prevent the release of the Social Security numbers. In cases where the records were accessed, the Social Security numbers would be redacted or eliminated from the disclosed information.

Reporting designated classifications

The preferred procedure for reporting a designated classification is the submission of the Archive's online *Designation and Classification Form*. This form may be filled out on the State Archives Web page at (www.archives.utah.gov). The designation may also be reported to the agency's records analyst at the State Archives. You can contact your records analyst for more information.

STATE RECORDS COMMITTEE

The State Records Committee (SRC) is responsible for approving the retention and disposition of record series generated by state and local government entities. They also serve as an appeals board when access to records has been denied by the originating agency. The committee is made up of seven members that include a local government representative, a representative from the media, the governor's designee, the state auditor's designee, State History's designee, a private records manager, and a citizen member. The attorney general's office provides legal counsel for the committee. For a list of current members and additional information please go to the Archives Website at (www.archives.utah.gov).

GRAMA REQUESTS

A person making a request for a record shall furnish the agency with a written request containing their name, mailing address, daytime telephone number (if available), and a description of the records being requested.

Agencies are required under UCA 63G-2-204, to respond to records requests within the following specified time limits:

- As soon as reasonably possible, but no later than 10 business days after a written request was received; or
- No later than 5 business days if the requester shows that an expedited response benefits the public rather than the requester.

Any person who requests a record to obtain information for a story or report for publication or broadcast to the general public is presumed to be acting to benefit the public rather than a person.

Agencies may delay responding to a request if impacted by an extraordinary circumstance specified in UCA 63G-2-204(4). Extraordinary circumstances and the corresponding time limits include the following circumstances:

- **Another agency is using the record.** In this case, the originating agency shall promptly request the record from the agency currently in possession of the record and return the record within 5 business days unless it would impair the holder's work.
- **Another agency is using the record as part of an audit and returning the record before completion of the audit, which would impair the conduct of the audit.** In this case, the originating agency shall notify the requester when the record is available for inspection and copying.
- **The request is for a voluminous quantity of records.** In this case, the agency shall disclose the records that it has located which the requester is entitled to inspect, provide an estimated amount of time it will take to complete the work required to respond to the request, complete the work, and disclose the records the requester is entitled to inspect as soon as reasonably possible.
- **The agency is currently processing a large number of records requests.** In this case, the agency shall disclose the records that it has located which the requester is entitled to inspect, provide an estimated amount of time it will take to complete the work required to respond to the request, complete the work, and disclose the records the requester is entitled to inspect as soon as reasonably possible.

- **The agency must review a large number of records to locate the requested records.** In this case, the agency shall disclose the records that it has located which the requester is entitled to inspect, provide an estimated amount of time it will take to complete the work required to respond to the request, complete the work, and disclose the records the requester is entitled to inspect as soon as reasonably possible.
- **The decision to release the record involves legal issues, which requires the agency to seek legal counsel for analysis of statutes, rules, ordinances, regulations, or case law.** Should be completed no later than 5 business days after the response time specified for the original request has expired.
- **Segregating the requested information the requester is entitled to inspect from information that the requester is not entitled to inspect, requires extensive editing.** Should be completed within 15 business days from the date of the original request.
- **Segregating information that the requester is entitled to inspect from information the requester is not entitled to inspect, requires computer programming.** The agency shall complete its programming and disclose the requested records as soon as reasonably possible.

If an administrative rule specifies an agency office to handle records requests and a request is submitted to an office of an agency other than specified in an administrative rule, the office shall forward the request to the appropriate office. If the request is forwarded promptly, the time limit for response begins when the office, as specified by an administrative rule, receives the request.

If an agency fails to respond to a records request within the specified time period, it is considered a denial of the record.

Responses

An agency shall respond to records requests through one of the following actions:

- Approving the request and releasing the record;
- Denying the request;
- Notifying the requester that the agency does not maintain the record and providing, if known, the name and address of the agency that does maintain the record; or
- Notifying the requester that because of one of the extraordinary circumstances listed above, it cannot immediately approve or deny the request.

In the case of extraordinary circumstances, the notice shall describe the circumstances relied upon and specify the date when the records will be available.

Denials

If an agency denies a records request in whole or part, it shall provide a notice of denial to the requester either in person or by sending the notice to the requester's address. (UCA 63G-2-205)

The notice of denial must contain each of the following:

- A description of the record or portions of the record to which access was denied, provided the description does not disclose private, controlled, protected information, or information that is exempt from disclosure;
- Citation of statute, rule, or order exempting the record from disclosure;
- A statement that the requester has the right to appeal the denial to the chief administrative officer of the agency; and
- The name and business address of the agency's chief administrative officer as well as time limits for filing an appeal. The petitioner has 30 days from the date of the denial to file an appeal with the agency's chief administrative officer.

Unless otherwise required by a court or agency of competent jurisdiction, an agency may not give up custody nor destroy any record to which access has been denied until the period for the appeals process has ended.

Appeals

Any person, including one not a party to the original records request, may appeal the denial of a record to the agency's chief administrative officer within 30 days of the agency's denial. (UCA 63G-2-401)

The notice of denial must contain each of these:

- Petitioner's name,
- Mailing address,
- Daytime telephone number, and
- The relief sought.
- The petitioner may also submit a statement of facts, reasons, and legal citations in support of the appeal.

If the appeal involves a record that is subject to a business confidentiality claim, the chief administrative officer shall send a notice of the appeal to the business confidentiality claimant within 3 business days after receiving the notice. The claimant has 7 business days after the notice by the chief administrative officer is sent to provide further support of the business confidentiality claim. The chief administrative officer will also send notice of the confidentiality claim and a schedule for making a determination in the case to the requester within 3 business days after receiving the appeal request.

The chief administrative officer must make a determination within the following periods of time as appropriate to the circumstances:

- Within 5 business days after receipt of the notice of appeal, or
- Within 12 business days after the notice of appeal is sent to a business confidentiality claimant who is affected by the appeal request.

The request is considered denied if the agency does not respond within the allowed time periods.

If the appeal is denied in whole or part, the denial shall say that the petitioner may appeal the decision to the State Records Committee or to the district court. The agency shall send a written notice of the chief administrative officer's decision to all participants. Time limits for filing an appeal and the name and business address of the executive secretary of the State Records Committee shall also be provided. The petitioner has 30 days after the chief administrative officer has denied the appeal to file an appeal with the State Records Committee. The business address of the executive secretary is listed below:

346 S. Rio Grande St.
Salt Lake City, Ut 84101

A petitioner must file a notice of appeal to the State Records Committee no later than:

- 30 days after the chief administrative officer's determination, or
- 45 days after the original request if:
 - The agency claimed extraordinary circumstances or
 - The chief administrative officer failed to make a determination.

Hearings before the State Records Committee

When a hearing before the committee has been scheduled both parties must submit a statement of facts, reasons, and legal authority in support of the appeal or the denial of records. Hearings are informal, but both parties are allowed to testify and present evidence. The committee will deliberate and make a decision at the hearing. The decision and order will be issued no later than 5 business days after the hearing.

Parties have the right to appeal a State Records Committee decision to the State District Court.

PART III

GUIDE TO DIGITAL IMAGING

DIGITAL IMAGING

The decision to convert documents or sound recordings to a digital format should be based on business needs. Agencies should justify the creation of digital records based on an analysis of their work processes and business needs balanced against costs. The decision to create such records should be based on improvements in productivity, efficiency, or improved quality of service.

What is Digital Imaging?

Imaging is a process by which a document (primarily paper, although other mediums may be used) is converted from a human-readable format to a computer-readable, digital image file. A digital image consists of pixels arranged in columns or rows. The number of pixels per inch determines the image resolution.

What are the possible advantages and disadvantages of maintaining records as digital images?

Advantages:

- Ability to use very high-density, electronic storage media instead of paper;
- Shorter retrieval time when the images are well-indexed;
- Multiple users and access levels;
- Low shipping costs and ease of information dissemination;
- Ability to easily use imaged copies of records in vital records and disaster recovery plans;
- Ease of making copies of the imaged records;
- Organizations that need to retrieve information efficiently during discovery and litigation may find that using imaged records can assist in the effort; and
- Digital images don't lose quality from generation to generation. Well-made copies and derivatives can be as good as the original images.

Disadvantages:

- Digital images are not human-readable without computer equipment and software.
- Significant equipment costs, including costs for hardware and software.
- Potential for hardware and software obsolescence. Generally, systems change every 18 months to 5 years. Software changes every 2 to 3 years, and the life expectancy for media is relatively short.

- Indexing requirements may be more extensive than the requirements for other formats. Unless records are indexed in a logical sequence it may be difficult to identify a series or use groups of records as a series.
- Different types of imaging equipment should be used to digitize text, sound recordings, oversize items, photographic prints, slides, and other formats.
- Digital quality control, image and metadata capture, and management are complex and time-consuming processes requiring expertise.
- Complex retentions and dispositions need to be addressed and can include the following:
 - If records are stored without regard to retention periods on an individual disk or in an individual directory, each record must be selected for destruction or moved to offline storage.
 - When agencies use write-once-read-many (WORM) optical media, records should be grouped by like retention periods on individual disks or in individual directories.

What factors must be considered in determining whether to image records?

Before beginning any imaging project, know the project's mission, users, priorities (speed, image quality, or quantity) and the functional goals such as reference, web use, or publication. Additionally, assess staff expertise and availability (to do scanning, manage infrastructure, migrate data, and build metadata) and address content issues (such as physical condition, format, nature, and attributes to be captured). Realize that costs include more than just the initial purchase of an imaging system. You may also incur migration costs if the information has to be retained for periods longer than 5 to 10 years.

In addition to the cost factors, other factors that should be considered when determining whether to image documents include the following:

- **Volume of records.** Imaging is generally used for large volumes of records.
- **Reference use.** Imaging is most effective on highly referenced collections where a short retrieval time is important or where there are multiple users accessing the same records. Combined with effective indexing, imaging records can facilitate retrieval.
- **Relationship to records on other media.** Consider whether the records to be imaged have to be used with records on other media.
- **Records and information usage.** Consider how the information is used and how long the record is needed. Required retention periods are specified in records schedules.

- **Legal acceptability.** Following established procedures and maintaining the documentation of audit trails and business practices will ensure that information will be kept that may be needed to document record authenticity and reliability.
- **Ease of maintenance.** Balance capacity and storage costs with indexing, conversion, quality control, and migration costs.
- **Staffing requirements.** Increased imaging and indexing of records and quality control procedures may require additional staff training.
- **Work process and information flow.** Would imaging facilitate the work process? Considerations include how records are routed, how information is added to records or files, and when records (finals or drafts) need to be captured.
- **Verification of signatures.** If signature verification is a requirement, consider that forensic analysis of signatures is not possible with imaged records.
- **Document preparation.** Determine how much work needs to be done to make the files ready for imaging. Document preparation for voluminous files may be significant.
- **Quality control issues.** Procedures must be instituted both while preparing documents for imaging and while verifying and validating imaged information.
- **Condition of original records.** The condition of the records will affect their handling during imaging as well as the quality of the imaged record that can be produced. This will particularly be a factor for records that are damaged, faded, and oversized.
- **In-house operation versus contracting operations with a service bureau.**
- **Image requirements.** Resolution, compression, and headers, etc., will vary depending on how images will be used and on the condition of the originals.
- **Indexing requirements** and metadata fields are determined by analyzing how users will access images.

Digital Imaging, Cost-Benefit Analysis

Agencies initiate records digitization projects primarily to realize increased efficiency and productivity through ready access to documents and information. Before any commitments to purchase equipment and software programs are made, a business plan should be developed which would specify the cost-benefits of installing such a system. Digital formats should be created for easier access and better productivity rather than long-term preservation. The responsibility and cost of migrating these records over a long period of time may create a burden on agencies. In some instances, the original format of paper or microfilm will be better choices for preservation of such records.

In developing a cost-benefit business plan you should consider the following:

Efficiencies and productivity increases

Efficiencies are gained primarily by saving staff and/or client time when accessing records. This could be quantified by calculating the staff hours saved and then by projecting those costs against the costs of the digitizing system.

As an example:

- The time saved in finding, compiling, and retrieving files and information,
- Time saved in researching information that may be located in several different offices or regional centers,
- Cost savings through the reduction of time spent sending mailings and making phone calls between offices,
- Clients would be served faster and provided with more complete information.

Cost considerations

- In some cases, outsourcing the work may be less expensive than purchasing equipment. Investigate any possible savings in equipment and staff time before you commit to any purchase.
- Match the capacity of the equipment to the overall size of the project. Do not overbuy but assure that the equipment is scalable to accommodate any new or expanded projects. Future needs of the agency should be considered to determine if the scanning project will expand into an enterprise system.
- Take a representative sample of the documents, and develop procedures for document preparation. This will include arrangement and removing extraneous material such as staples, etc. From this review a determination can be made as to time and costs involved.
- Scanning time can also be determined by using a sample of documents and actually scanning them into a similar system. The vendor should be able to provide for this review.
- The description, indexing, cataloging, and development of finding aids for the material is very time-consuming and costly. This should be well-planned in the beginning to achieve the most efficiency.
- Network infrastructure, computer storage space, and maintenance contract costs should be spelled out and included in the overall costs of the system.
- The eventual costs of migrating hardware and software to new systems should be taken into consideration. Eventually, this will need to be done to upgrade and maintain the integrity of the system. These costs should be identified by the vendor and built into the overall costs of the system.

- Cost analysis studies of existing imaging systems around the country are showing the following cost trends: one-third of the overall cost is attributable to digitizing (equipment, document identification, preparation, and scanning); one-third to metadata creation (cataloging, description, indexing, and finding aids); and one-third to system administration (system infrastructure, maintenances, and migration).

Retention and Disposition of Imaged Records

Like paper records, digital records must have appropriately scheduled retentions linked to a general schedule item or be approved by the State Records Committee. Before beginning a digitization project, it is important to have the record series scheduled and the retention approved. This is necessary because the approved retention must be built into the project from the outset.

Digitized records, frequently exist in more than one format. For example, there may be a paper copy as well as an electronic copy. If so, you will need to determine which format is the record copy. Which format do you intend to maintain as the record copy according to an approved, scheduled retention? If you determine that the electronic copy is the record copy, and the record has a permanent retention, then you must be prepared to maintain the records electronically for an indefinite period. This means that you must not only have storage space but that you will work out a schedule for migrating the records as technology changes. Depending on how the record is used and by whom, you may want to consider maintaining the paper version as the permanent record and use electronic copies for office access. Officially designated record copies, maintained electronically, should be stored as “read only” files to protect the documents from being altered or manipulated in any way. This will help to ensure the integrity of the record over time.

For records that are to be maintained permanently, the National Archives and Records Administration (NARA) recommends storage on hard drive systems with a level of data redundancy, such as Redundant Array of Independent Disks (RAID) drives, rather than on optical media, such as CD-R. An additional set of images with metadata stored on an open, standard tape format, such as the Linear Tape Open (LTO), is recommended. (CD-R backup is the less desirable option.) Regular backup onto tape from the RAID drives is also recommended. A program which allows the user to see how many bytes are present before and after migration should be generated and stored with the image files so that any data lost or altered in migration can be detected.

CD-ROMs are for distribution of images to external sources and not for long-term storage. If CD-Rs are used, it will be important to purchase high-quality materials. Two copies should be made, and one should be stored off-site. CD-Rs should be regularly checked for data integrity.

In the future, compatibility and obsolescence are likely to be problems. Disks are easily damaged by dust and fingerprints and are also especially susceptible to damage from excessive heat or humidity. (Recommended environment is between 65 and 75 degrees with a relative humidity between 30 and 50 percent.) More importantly, optical disks are likely to become technologically obsolete within 5 to 10 years. If optical disks are used to store records with retention periods which exceed their expected life span, then it will be important to have a data migration strategy in place for transferring these records to the next generation of hardware and software.

Digitization of archival records represent a significant investment in terms of time and money. It is important to realize that the protection of these investments will require the active management of both the image files and the stored metadata. *Storing files to CD-R or DVD-R and putting them on a shelf will not ensure the long-term viability of the digital images or continued access.*

Digital preservation remains a challenging area in which techniques, costs, and skills are still in development. Institutions increasingly invest heavily in digital materials, but policies and procedures for long-term management of digital assets remain underdeveloped.

For records that do not have a permanent retention, a means of identifying and destroying records must be built into the software at the outset of the digitizing project. Erasure should take place according to approved procedures established by the agency. Erasure must be documented in the same manner that destruction logs are kept for the destruction of paper records.

Standards for Digitization of Permanent Records

Basic Principles

- Scan at the highest resolution appropriate.
- Scan at an appropriate level of quality to avoid re-scanning.
- Create a master image file which can be used to produce access copies.
- Use non-proprietary components.
- Monitor and recopy files as needed.
- Implement a migration strategy to transfer data across generations of technology:
 - Transfer files to new media as it becomes widely available.
 - Do not let more than 5 years elapse before refreshing your data.
 - Longevity is less important than the ability to access.
- Scan the original document, rather than a copy, in order to capture the best quality of image.
- Select equipment based on optical resolution as opposed to an interpolated resolution. This will produce more accurate scans.
- Use CD-ROMs that conform to ISO 9660 rather than audio CD, DVD audio, or video.
- The master copy should be uncompressed.

Initializing the Project

Resolution: The number of pixels (in both height and width) make up an image. The more pixels in an image, the higher the resolution; and the higher the resolution of an image, the greater the clarity and definition. The higher resolutions also have a larger file size. Resolution can also refer to the output device, such as the computer monitor or printer used to display the image.

Image file resolution is often expressed as a ratio, such as 640 x 480 pixels, as is the monitor resolution. However, resolution is also expressed in terms of pixels per inch (ppi). Image file resolution and output (print or display) resolution combine to influence the clarity of a digital image when it is viewed.

Modes of Capture

- **1-bit or Bitonal.** Bitonal means a pixel can be black or white. Bitonal imaging is ideal for black and white images, such as line drawings and text. However, scanning in grayscale rather than bitonal may produce a better-looking image.
- **8-bit grayscale.** Each pixel can be one of 256 shades of gray. This is good for black and white photography and handwritten documents.
- **Color.** Each pixel can be one of 16.8 million colors. Color is used for documents with continuous tone color information.

PERMANENT RECORD STANDARDS

| Material | Bit Depth | Resolution | File Format |
|--------------------|---------------------------------|--|-------------------|
| Printed Text | 1 bit bitonal | 300-600 ppi | Uncompressed TIFF |
| Handwritten Text | 8 bit grayscale | 200-400 ppi | Uncompressed TIFF |
| Photograph (B&W) | 8 bit grayscale | 3000-6000 pixels across long dimension | Uncompressed TIFF |
| Photograph (Color) | 24 bit color | 3000-6000 pixels across long dimension | Uncompressed TIFF |
| Maps/Oversized | 8 bit grayscale or 24 bit color | 200-400 ppi | Uncompressed TIFF |

Access/Format

Master Image (uncompressed & unedited to remain as similar to the original as possible)

- **TIFF** (Tagged Image/Interchange File Format)

Standard format for archival images allowing for a higher level of detail. TIFFs can be compressed (lossless compression maintains the original picture quality) or uncompressed. TIFF is chosen as the format for master images due to its interoperability, large data capture, and nonproprietary nature.

Derivative Images (This process can alter an image, resize it, and save it for easier viewing. The process usually involves a loss of information)

- **JPEG** (Digital libraries on the web)

24-bit, lossy (some data is lost) compression format ideal for screen and print presentation. The original image is reduced and cannot be restored. The file sizes are much smaller than TIFF, but JPEG is not recommended as an archival file format.

- **GIF** (Commonly used on the Internet)

Good for low resolution screen display of images such as thumbnails or screen versions of text documents.

- **PDF** (Adobe)

Provides a convenient way to view and print images at high resolution.

Guide to Digital Imaging

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University of Illinois Photo Image Quality Calculator:

<http://images.library.uiuc.edu/projects/calculator/>

University of Tennessee Digital Library Center Digitization Standards and Procedures:

http://diglib.lib.utk.edu/dlc/techdocs/UT_DigitizationStandards2004.pdf

Western Trails Digitization Best Practices:

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These URL's were valid on May 19, 2005.

For additional information please visit the Utah State Archives Website at
www.archives.utah.gov

BASIC DEFINITIONS

APPRAISAL - the process of determining the value, retention, and disposition of a record based on the administrative, legal, fiscal, historical (research) values, as well as the record's relationship to other records.

ARCHIVES - facility used for storage of an organization's records that are preserved because of their historical or evidentiary value.

CLASSIFICATION - the determination of whether a record series, record, or information within a record is public, private, controlled, protected, or if the record is exempt from disclosure under UCA 63G-2-201(3)(b).

DISPOSITION - the action taken with records following the end of their retention period. The action includes either transfer to the State Archives or destruction.

GENERAL RETENTION SCHEDULE- a listing and description of record series commonly found in agencies. The time period shown for each general schedule item indicates the retention which the State Records Committee has approved for these types of records. General retention schedules have been issued for state agencies, individual agencies, counties, municipalities, and school districts.

INACTIVE RECORDS - records which are no longer used on a consistent basis. Records are generally used once per month---or less, per file drawer.

NON-RECORD - material, regardless of format, produced by an outside organization and used by an agency for reference. These are materials created by the agency that are not used as the final, official record.

These include the following:

- Temporary drafts or similar materials, daily calendars, and other personal notes prepared for the originator's personal use, or notes prepared by the originator for the personal use of an individual for whom he is working;
- Materials that are legally owned by an individual in his private capacity;
- Materials to which access is limited by the laws of copyright or patent unless the copyright or patent is owned by a government agency;
- Proprietary software;
- Junk mail or commercial publications received by a government agency or an official or employee of the agency;

- Books and other materials that are cataloged, indexed, or inventoried and contained in the collections of libraries open to the public, regardless of physical form or characteristics of the material;
- Computer programs as defined in UCA 63G-2-103(4), that are developed or purchased by or for any government agency for its own use; and
- Notes or internal memoranda prepared as part of the deliberative process by a member of the judiciary, an administrative law judge, a member of the Board of Pardons and Parole, or a member of any other body charged by law with performing a quasi-judicial function.

RECORD - all books, letters, documents, papers, maps, plans, photographs, films, cards, tapes, recordings, electronic data, or other documentary materials regardless of physical form or characteristics which are prepared, owned, received, or retained by a governmental entity or political subdivision, and where all of the information in the original is reproducible by photocopy or other mechanical or electronic means.

RECORD SERIES - a group of records that are created, used, and filed as a unit because they relate to a particular subject or function, result from the same activity, or have a particular physical form.

RECORD COPY - the original file copy of a record series maintained by the creating agency, sometimes referred to as the designated original or blue ribbon copy.

RECORDS CENTER - a facility used for low-cost, off-site storage of inactive records pending their ultimate disposition.

RECORDS INVENTORY - a survey which identifies and quantifies all record series possessed by a government agency. The records inventory is used to identify an agency's records in order to develop records retention schedules.

RECORDS OFFICER - the individual appointed by the chief administrative officer of each government agency to work with State Archives in the care, maintenance, scheduling, designation, classification, disposal, and preservation of records.

RECORDS RETENTION SCHEDULE - a document that describes the records of an agency and establishes the retention and disposition of those records. The retention schedule defines the length of time the record must be kept, where it is to be maintained, and the disposition of the record.

RETENTION PERIOD - the time period that an agency's record series are maintained prior to disposition. This time period is based on the estimate of frequency of use and length of time necessary to keep the records.

STATE RECORDS COMMITTEE - the committee created under GRAMA that reviews and approves all retention schedules and hears appeals regarding records access requests. The committee is composed of seven members including a private sector, records manager; the

state auditor or the auditor's designee; the director of the Division of State History; the governor or governor's designee; one citizen member; one elected official representing political subdivisions; and one individual representing the media.

Utah Government Records Request Form Example

TO:

(Name of government office holding the records and/or name of agency contact person.)

Address of government office:

Description of records sought (records must be described with reasonable specificity):

☐ I would like to inspect (view) the records.

☐ I would like to receive a copy of the records. I understand that I may be responsible for fees associated with copying charges or research charges as permitted by UCA 63G-2-203. I authorize costs of up to \$ _____.

UCA 63G-2-203 (4) encourages agencies to fulfill a records request without charge.

Based on UCA 63G-2-203 (4), I am requesting a waiver of copy costs because:

☐ releasing the record primarily benefits the public rather than a person. Please explain:

☐ I am the subject of the record.

☐ I am the authorized representative of the subject of the record.

☐ My legal rights are directly affected by the record, and I am impoverished.

(Please attach information supporting your request for a waiver of the fees.)

If the requested records are not public, please explain why you believe you are entitled to access.

☐ I am the subject of the record.

☐ I am the person who provided the information.

☐ I am authorized to have access by the subject of the record or by the person who submitted the information. Documentation required by UCA 63G-2-202, is attached.

☐ Other. Please explain:

☐ I am requesting an expedited response as permitted by UCA 63G-2-204(3)(b).

(Please attach information that shows your status as a member of the media; and a statement that the records are required for a story for broadcast or publication, or other information that demonstrates that you are entitled to expedited response.)

Requester's Name:

Mailing Address:

Daytime telephone number:

Date:

Signature: